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ABSTRACT

In January of 1967 the Appraisals Committee of the Ontario Council of Graduate Schools was created to evaluate suggested programs for graduate degrees that would provide students with an educational opportunity fully consistent with the acceptable standards generally established for the relevant discipline in universities inside and outside Canada. As of August 31, 1969, 17 Ph.D. programs and 24 master's programs were approved to commence without delay; 3 Ph.D. programs and 3 master's programs were approved with a 1- or 2-year delay; and 3 Ph.D. programs and 2 master's programs were refused approval. This document offers a report of the first 3 years of operation of the Committee, and presents an outline of the procedures that the Committee takes in approving or denying approval to a program. (HS)

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Ontario Council on Graduate Studies

The First Three Years of Appraisal of Graduate Programmes

Committee of Presidents of Universities of Ontario

Comité des Présidents d'Université de l'Ontario

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The First Three Years of Appraisal of Graduate Programmes

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Foreword

When in January 1967 the Ontario Council on Graduate Studies (OCGS) published its By-law No. 2 (A By-law to Establish a Committee on Appraisal of Graduate Degree Programmes), it touched off a vigorous, not to say excited, discussion throughout the academic community in Ontario. Most people seemed ready to agree that a self-imposed qualitative control of graduate degree programmes was desirable, but the novelty of the enterprise, the initial difficulty of seizing the distinction between voluntary appraisal of individual graduate programmes and the more familiar accreditation of institutions, the anticipated difficulty of keeping qualitative appraisal distinct from considerations of need and planning, the question of authority, the fear of governmental influence, the implications for individual universities, and many similar considerations, secured a very lively reception for this first formal publication by the Council. (An agitated participant in one of the many discussions said that if this was By-law No. 2, he could hardly wait to find out what By-law No. 1 was!)

As a result of all these discussions and of our growing experience, OCGS from time to time amended the By-Law and Procedure. These amendments have helped OCGS allay some initial fears that appraisal would be an arbitrary external judgment imposed upon a university; the universities' collective experience of appraisal has increasingly been of a joint enterprise in which extensive discussion is followed by disinterested judgment. I think it safe to say that no substantial body of opinion in any Ontario university any longer regards appraisal as a threat (which does not, of course, mean that it is not taken seriously).

Because of the manifest interest throughout the Ontario academic community, revised versions of the appraisal regulations were twice circulated in mimeographed form (May 1968 and May 1969). Some further changes have now been made, and it seemed appropriate, just three years after the publication of the first version, to publish the revised By-law and Procedure, together with a report of the actual operation of the Appraisals Committee. The report is by Dean M. A. Preston of McMaster University, the first Chairman of the Committee, who retired as Chairman in August of 1969 but continues as a member of the Committee. The By-law and Procedure are printed after this report as Appendix A and Appendix B respectively.

Ernest Sirluck
Chairman,
Ontario Council on
Graduate Studies

January 13, 1970

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Report of Retiring Chairman

After two and a half years of operation, it appears to be appropriate to review the work of the Appraisals Committee and its effect on the development of graduate programmes in the Ontario universities. The Committee had an exciting birth and was the subject of considerable controversy in its early days. This history will not be dealt with here, except to record briefly that the Committee was established by By-Law No. 2 of the Ontario Council on Graduate Studies, with approval of the Committee of Presidents of Universities of Ontario in December 1966. In that month or shortly thereafter each of the universities, through its appropriate internal councils, expressed its intention to have new graduate programmes referred to the Appraisals Committee before final university approval. The background for these actions was the growing realization, effectively brought to a head by the report of the Spinks Commission on graduate study in Ontario[1], that the fourteen provincially assisted universities of the province needed to cooperate in order to make the best possible use of the necessarily limited extent both of available human resources of experienced scholars and of financial resources to provide the physical requirements for graduate work and research: buildings, laboratory equipment, library materials, scholarships and so forth. Development of such planned cooperation was seen to be a relatively slow process, although some aspects of it have since been tackled with vigour. However, it was also seen that, no matter how cooperative planning were to develop, a permanent requirement was certain to be a means for obtaining independent judgments of the academic quality of departments, and great advantages were expected to come from the prompt establishment of a committee, devoid of any planning function, which could "certify" the academic respectability of the numerous new (and old) graduate undertakings in the province. Thus was created the Appraisals Committee, explicitly forbidden to engage itself with questions concerning the "need" for any specific programme, not commissioned to assess the relative quality of the offerings of our different universities,

[1]*Report of the Commission to Study the Development of Graduate Programmes in Ontario Universities* (Toronto: Ontario Department of University Affairs, 1966).

but with the sufficiently difficult and responsible task of determining that each programme which it approved would provide students with an educational opportunity fully consistent with the acceptable standards generally established for the relevant discipline in universities inside and outside Canada.

To carry out this task, and to be seen to do so impartially and responsibly, requires that the Committee proceed in a way understood by all concerned. It operates, therefore, in accordance with rules and procedures approved by OCGS. These have been modified several times in response to suggestions from various parts of the academic community and also from experience with unforeseen situations. The most recent revised version appears in Appendix B.

It may be worthwhile to report that interest in our arrangements has been shown by the Council of Graduate Schools in the United States and by the universities of the provinces of Quebec and Manitoba.

Composition of Committee

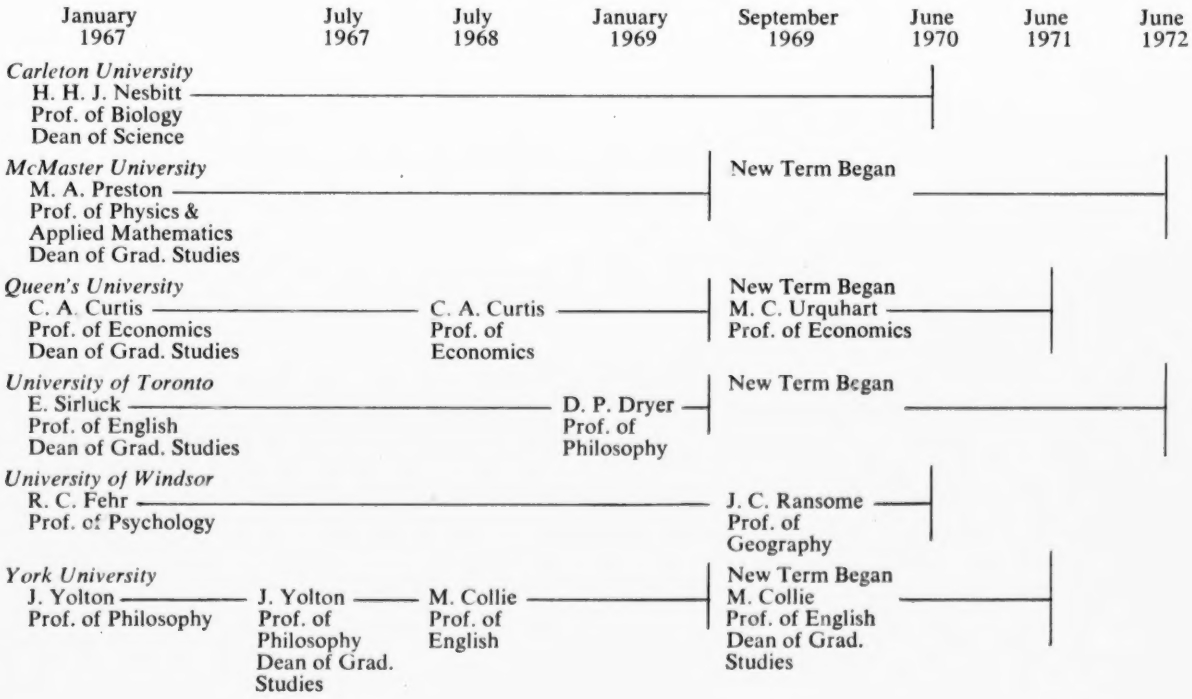
The composition of the Appraisals Committee since its beginning is indicated in the accompanying chart.

The Chairman from January 1967 to September 1969 was Dean M. A. Preston, Faculty of Graduate Studies, McMaster University. Professor M. Collie, who became York's Dean of Graduate Studies in July 1969, assumed the chairmanship from September 1, 1969.

It will be noted that the Committee has represented a balance of disciplines in the various fields of study, a blend of universities, and a mixture of deans and other professors. During its first eighteen months, three (later four) of its six members were Deans of Graduate Studies; for the last eight months, only one has been, and this has somewhat weakened its link with OCGS to which it reports; for the coming year, there will be two graduate deans on the Committee.

In the period under review, the Appraisals Committee met 24 times, usually for most of the day. The outgoing Chairman would like to record his indebtedness to the School of Graduate Studies of the University of Toronto for providing meeting facilities, to his very conscientious colleagues on the Committee, to Mrs. Judy McEwen who dealt with the very heavy secretarial work of the Committee with outstanding efficiency, and finally to the Committee's "clients," for it is a

Membership of the Appraisals Committee



pleasure to note the very real cooperation and understanding forbearance which they have always—in strict candour, perhaps, *almost* always—given us.

Statistics (as of August 31, 1969)

Before attempting any qualitative evaluation of the work of the Committee, some statistics may be in order. In the two and a half years under review, the Committee has received 72 submissions for appraisal. Findings have been announced to the university on 52 of these. The 52 cases where findings have been announced break down as follows:

Ph.D.s approved to commence without delay	17
Ph.D.s approved with a one-year delay	3
Ph.D.s refused approval	3
Master's degrees approved to commence without delay	24
Master's degrees approved with a one- or two-year delay	3
Master's degrees refused approval	2

Each of the 14 universities has had at least one programme appraised. At one time, some felt that the Committee would be concerned mostly with submissions from the newer universities; in fact, the two most frequent "customers" have been McMaster and Toronto with 12 and 10 programmes respectively. The four emergent universities account for 18 of the 72 submissions, and the remaining eight universities, therefore, for 32 submissions.

The fields represented by the approvals break down as follows: humanities—6 Ph.D.s and 3 M.A.s; social sciences—7 Ph.D.s and 4 M.A.s; natural sciences—3 Ph.D.s and 11 M.Sc.s; engineering—1 Ph.D. and 1 M.Eng.; health sciences—2 Ph.D.s and 2 M.Sc.s; 1 Ph.D. in business, 2 master's in public administration, and 1 master's in each of physical education, social work, criminology, and law.

The time required to conduct an appraisal depends on several factors. Always there is the question of when the consultants are able to make their visits and of how many of the potential consultants at the top of the Committee's list are unable to accept the commission. Sometimes the university's submission is not complete, or is in an unsatisfactory form; this can cause delay. Delay is sometimes occasioned by the need to enlarge the original list of consultants. Occasionally, but rarely, there is

some time consumed because a busy consultant does not report promptly. The above are the hazards of a "straight-forward" appraisal. Then there are the cases, not so straight-forward, where the consultants' reports or visits or the subsequent meeting with the Committee may cause the university to wish to revise its proposal, await the results of staff recruiting or something of this sort. Such cases may lead to adjournments of varying lengths of time. Also, when a refusal is indicated, there seems almost always to be a delay of at least one month to verify certain points before making a negative finding. The summer season may also add a month to the time required. If one bears these factors in mind, one can understand the following: the elapsed time from submission to Committee finding has been spread (with one exception) over the range three months to nine months, with a median of four months for "straight-forward" cases and of seven months for other cases.

Consultants

There has not been much difficulty in obtaining outstanding consultants. The ideal consultant is internationally known as a scholar in his subject, has extensive and recent experience of graduate lecturing and thesis supervision, and has an appreciation of the administrative difficulties of developing a graduate department. In some subjects (e.g. medicine, planning, economics) such people are very busy and command large consulting fees; nevertheless, they have been interested in the appraisal task and have not cavilled at our standard fee, although we have not infrequently had to wait two or three months before the campus visit was possible. Where it seemed appropriate, we have not let geography dictate the choice of our consultants. There are at least three consultants on a Ph.D. proposal, and almost always two on a master's proposal. The rules permit at most one from an Ontario university.

For the first 50 cases, there were 21 consultants from Ontario, 26 from other parts of Canada, 70 from the U.S. and 6 from British institutions. The single universities most frequently listed were McGill (11 cases), Harvard (8), Cornell (6), and California (6).

This recital of origins does not by itself indicate the quality of the consultants, but when there has been occasion to mention the names of consultants to people who would know their academic standing, they have not infrequently shown surprise that we have secured the services of scholars of such eminence and with such soundness of judgment.

The Appraisals Committee realizes very keenly that the validity of its findings requires first-class advice, and it therefore attaches great importance to its choice of consultants. The members take considerable pains to learn about the consultants who are suggested by the university. Often some of the names proposed have not seemed appropriate for one or more of a variety of reasons of which the following are some examples: insufficient eminence, great eminence but no recent involvement in graduate work, thought to be unlikely to make a discriminating and candid report, possible embarrassment because of a too-close professional association with some member of the department (e.g. was his thesis advisor), had already been a consultant to the university on the programme under review. Sometimes a university lists a substantial number of possible consultants from Ontario; the choice of one automatically eliminates the others. Sometimes in a subject which has two or three well-defined sub-fields (e.g. solid-state physics and nuclear physics) it is desirable to have at least one consultant expert in each. For such reasons, the Committee not infrequently finds it desirable to ask the university to agree to consultants suggested by the Committee. Universities have usually agreed but on occasion, and quite properly, have rejected a suggested name.

Evaluation of Submissions and of Consultants' Reports

A consultant's report is usually a document of about a dozen pages, normally candid and helpful to the department in assessing its strengths and weaknesses, and to the university and to the Committee in helping to paint a picture of the department. Although each consultant does make a definite recommendation, it is quite rare for a report to say unequivocally "yes" or unequivocally "no"; usually the consultant's recommendation is based on certain assumptions he has made about future growth, or about budgetary commitment, or about the department's educational philosophy. Often he lists his unconfirmed assumptions; sometimes one must unearth them in the report. In any case, before the Committee accepts that the consultant's verdict is what it appears to be, it must satisfy itself that the assumptions on which it is based are justified. Hence the Committee must weigh carefully both the reports and the university's comments on them. This is particularly evident when, as is not too infrequent, consultants disagree in their findings.

This point can bear stressing, because there has been some misunderstanding of the correct statement that the Committee bases its finding on its consultants' reports. So it does. The reports constitute the expert opinion at its disposal and on the basis of these reports, the university's submission, and the university's supplementary statements, both verbal and written, it draws a conclusion. The members of the Committee do not use any other specific information they may have. In particular, a member is careful if the programme under review is in his own discipline. In that case, he may explain some jargon to his colleagues, but he does not constitute himself as an additional expert consultant. In other words, the Committee members apply to the material at hand the best judgment of which they are capable. If they have been well chosen as scholars of experience and wisdom in the techniques, needs and standards of advanced learning and research, the number of incorrect verdicts should be minimal.

Incidentally, the likelihood of an error of judgment leading to a negative finding has been substantially reduced by the recent By-Law amendment which legislates the opportunity for rebuttal by a university after the Committee has told the university its reasons for proposing to refuse approval.

Results of Appraisal

While the role of the Appraisals Committee appears rather like that of a judge, it is well aware that its actions and its method of conducting its business can have noticeable indirect effects. In this context, it has tried to act in a way that would encourage departments to take the kind of aggressive action that is essential for the development of flourishing graduate work of high standard.

It has been suggested to the Committee more than once that it could give advice, either formally or informally, so that a department planning its graduate work would avoid pitfalls and develop a strong basis. The Committee feels strongly that its position would be impossible if either it or its members did tender such advice, but it has frequently suggested that a university might do well to retain as consultant to a growing department a man of the kind the Committee itself would use to assess it. This is just one example of the fact that the very existence of the Committee has probably caused more careful consideration to be given to developments than would otherwise have occurred.

A successful appraisal presupposes a careful and systematic assessment by the department concerned of the academic viability of the proposed programme, but, since the plans will almost invariably require increased expenditure, it will follow that the department and its university examine the academic and financial viability of the proposal in terms of specification of areas of specialization, teaching commitments, library and laboratory resources, and academic organization and curriculum. The careful assessment by a department of some of these important determinants of high academic standards makes an invaluable contribution to the maintenance of these standards—a matter of vital concern to all faculty. Many faculty members involved in appraisals have told us of the benefits which they felt they obtained in this way. They have referred to the clarification of academic policy which they felt resulted and to the support which the resultant careful planning has often produced from the university administration.

One fairly common by-product of preparing for appraisal is the impetus it gives to a careful study of library resources. In some cases, library holdings have been surveyed by outside library consultants; in these cases and several others an agreed pattern of acquisition and of concomitant budgetary support has become a part of the university plan.

After this detailed planning, the department is visited by the consultants. It is a rare department that does not find this a very helpful experience. After all, two or three distinguished professors are each devoting some days to considering the graduate work of the department, and, almost invariably it seems, much good advice results. Sometimes the consultants' suggestions are of sufficient importance that a department will rethink its offerings. There have been cases where a department has revised its proposal as a result; there have also been cases where after careful thought a department has maintained pretty much its original position. However, the consultants' advice is not usually so basic as to suggest fundamental changes in the proposed programme but is of a useful and practical kind which the department can mull over at its leisure.

The benefits so far mentioned are inherent in the appraisal scheme. There are others which depend to some extent on the actions of the Appraisals Committee. Sometimes the achievement of a desirable goal within a university is helped greatly by a nudge from outside and, if it sees its role as helping development as well as merely judging achievement, the Committee can sometimes help in this way. For example, there is a regrettable but understandable tendency for academics to pay

lip service to interdisciplinary cooperation but not to attend very closely to the arrangements needed to encourage this delicate flower. There have been a number of cases in which consultants have reported that a proposed degree programme depended critically on the involvement of members of other departments, and that they felt that insufficient steps had been taken to encourage and permit this involvement to be a reality, rather than an expression of wishful thinking. In such cases, the Committee has not said, as it might have, that it would therefore have difficulty approving the proposal. On the contrary, it has indicated that it would like to adjourn discussion until the university wished to have it proceed. In the meantime, the university frequently is able to report that it has made some changes; for example, in two cases cross-appointments of faculty members resulted, so that their involvement was fully recognized by their own department.

Not infrequently, too, a department has indicated after discussion of the consultants' reports with the Committee that it would want to reconsider certain points, often of an academic nature such as requirements in connection with courses, or theses, or examinations, or admission policy.

It should be made clear in this connection that the Committee is instructed by OCGS that it is not to guide itself by any formal set of standard academic policies. That is to say, the Committee would not automatically refuse approval if it were proposed, as it has not been, to grant a Ph.D. without a thesis, or if it were proposed, as it has been, to grant one without formal courses. Neither would it attempt to determine universally applicable quantitative measures, for example, a minimum size of faculty to conduct graduate work in this or that discipline. Indeed, there is surely much need today for some new approaches to graduate study. What the Committee is charged to do in this connection is to ensure that the consultants, fully aware of the traditional and the novel features of the programme, make an assessment of whether or not it will produce graduates of the standard usually associated with the degree in that discipline.

Perhaps the remarks in this section can be summarized by saying that the Appraisals Committee performs two rather different roles. On one hand, it assures the academic communities—provincial, national, and international—in a very visible way that the graduate programmes in Ontario universities are able to meet the standards of a rigorous appraisal. Secondly, its existence and its procedures ensure that all important questions of standards, of research emphasis, of curricular

development and of educational philosophy are raised and are carefully considered by those involved in graduate work. Incidentally, we may note that the low number of refusals of approval should not surprise us, for if the point made in the last sentence is correct, we should not expect many proposals to come forward which ultimately are found to be too weak to sustain appraisal.

This necessity for detailed planning has had its spill-over; it is not only the departments advancing new programmes which have considered these problems. It is my belief that there have been more careful thought and discussion about graduate planning in our provincial universities in the last two years than would otherwise have been the case, and it is my hope that from this will come not only healthier graduate schools but also some new approaches to the continuing problems of graduate study.

M. A. Preston

November, 1969

Appendix A

ONTARIO COUNCIL ON GRADUATE STUDIES

BY-LAW NO. 2

A By-Law to Establish a Committee on Appraisal of Graduate Degree Programmes

I. 1. There shall be a Standing Committee of the Ontario Council on Graduate Studies to be known as the Appraisals Committee.

2. (a) The Appraisals Committee shall consist of six members of the Council, of whom four shall constitute a quorum.
(b) Except in the first instance when the term of office shall be two for one year, two for two years and two for three years, the term of office on the Committee shall be three calendar years and at least two members* shall be chosen from among Toronto, Western Ontario, Queen's, and McMaster, and at least two from Ottawa, Waterloo, Windsor, Carleton, Guelph, and York.†

3. The members of the Committee shall be nominated by the Nominating Committee of the Council and elected by Council at its annual meeting. They shall be eligible for re-election.

4. The Committee shall elect its own chairman annually and he shall be eligible for re-election.

5. The Chairman shall have one vote.

II. 1. The functions of the Committee shall be
(a) to evaluate and appraise graduate programmes in any discipline at the request of the university, or of the Ontario Council on Graduate Studies with the consent of the university.
(b) to report on its appraisals as detailed in part III of this By-Law.

2. The university proposing a new programme shall bear the costs of the appraisal according to a schedule established by the Committee and set forth in the procedures; the organization requesting appraisal of an existing programme shall bear the costs of the appraisal.

III. 1. The procedure to be followed by the Committee shall be established by resolution and shall be subject to approval by the Council.

2. It is expected that a university, acting through its graduate dean, will submit a proposed graduate programme for appraisal before submission for final approval to its own Senate.

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* The members of the Appraisals Committee are the universities; the Nominating Committee, in consultation with the university through its representative on the Council, may nominate a faculty member other than the graduate dean. Continuity is important, and each individual nominated will be expected to serve throughout his university's term.

† The Spinks Commission Report of 1966 categorized the first-named group of universities as having "fully-developed honours and graduate programmes, to Ph.D. level in many fields" and the second group as having "Honours and graduate programmes launched and Ph.D. work in some fields." In the future, the Council may find it desirable to amend this By-Law if one or more universities change categories.

3. After the approved procedure has been followed the Committee will recommend to the Council on Graduate Studies the granting, the refusal, the retention or the suspension of approval, with reasons for its decision. The Committee may also recommend granting approval for a programme to commence at a specified future date, the postponement to be not more than two full academic years.

4. The Council will not debate the detail of the case but will accept or reject the recommendation of the Committee when it has satisfied itself that the procedures of the Committee ensured a thorough and fair study of the case, it can in any case refer the matter back to the Committee.

5. The decision of the Council shall be communicated to the university concerned.

6. The approval of a new Ph.D. programme shall be for an initial period of five years from the date of its commencement. At the end of that time, each programme shall be re-assessed in a manner specified in the Procedures I.11 for re-examination, the results communicated in accordance with paragraph III.5 above and paragraph 9 of the attached procedural resolution, and the appraisal paid for by the university. The university may alternatively request a full appraisal.

7. When a Ph.D. programme is assessed that was authorized by the university prior to January 1, 1967, or one that, having been approved by the Council after January 1, 1967, has been in existence for more than five years, the Committee and Council shall follow the same procedure as for a new programme. In addition to the options in III.3, the Committee may recommend the approval or the retention of the approval of the programme subject to the rectification of certain deficiencies; it may in this case require a re-appraisal similar to that outlined in the Procedures I.11.

8. When a programme of his own university is being assessed, any member of the Committee shall absent himself from all the Committee's proceedings relevant to that assessment, except for the discussion permitted by paragraph 7(c) of the procedural resolution.

9. If a debate arises in Council on the points permitted by paragraph III.4, the university's representative on Council may make one statement and later a rebuttal.

IV. No clause in this By-Law shall be suspended or amended unless notice of motion has been given at a previous meeting or is placed on the agenda of the current meeting, unless said suspension or amendment is passed by at least two thirds of the members present at the said meeting.

V. Interpretative Clause

1. (a) It is understood that all chartered universities have the power to authorize degrees. Submission of programmes for appraisal is therefore voluntary.

(b) It is stressed that approval is not similar to the "accreditation" of certain professional bodies. There are no predetermined quantitative measurements, course requirements, etc.; the Appraisals Committee will base its decisions essentially on the opinions of the consultants.

(c) It is each separate programme that is appraised, not institutions or departments.

2. Department: "Department" shall be read to include any faculty group responsible for the operation of a "programme," including institutes, centres, interdisciplinary committees, and similar organizations.

3. Programme
(a) The word "programme" of a "department" is used to signify all aspects of the graduate undertaking of the department, including the actual and planned staff, extent and limitations of areas of research specialization, research facilities, *and* curriculum. The appraisal shall embrace all factors which must be considered to establish that the programme will be *academically* sound, and only those factors.
(b) The area of work covered by a programme is not necessarily coincident with the complete range of instructional and research fields for which a department (or other administrative organ) is responsible. Usually the area of a programme is more restricted than the whole of the discipline associated with a department. If a department whose offering has been approved in (or hitherto confined to) specific fields wishes to undertake Ph.D. work in a further field of specialization, the university should seek the opinion of the Committee as to whether an appraisal is desirable.

4. Committee: Where "Committee" appears without further specification, it shall be construed to mean "Appraisals Committee".

5. Council: "Council" refers to the Ontario Council on Graduate Studies.

This By-Law shall take effect January 1, 1967.

Appendix B

PROCEDURE OF THE APPRAISALS COMMITTEE

I. Ph.D. Programme

When a request for appraisal of a proposed Ph.D. programme is made, the Committee shall inform the Chairman of the Council. It may ask the Executive Committee for establishment of priorities in its work. It shall then proceed as follows:

1. The Committee shall ask the university concerned to submit a report showing, along with other relevant material, the following:

(a) proposed areas of specialization;
(b) an estimate of enrolment;
(c) numbers of staff in each area of specialization and proposed staff development;
(d) present and proposed undergraduate and other commitments of the department, showing individual teaching loads where possible;
(e) present library resources and intended commitments for at least five years, including a statement by the Chief Librarian of the university;
(f) laboratory facilities and research equipment;
(g) availability of research funds;
(h) adequacy of space for student and staff offices;
(i) proposed regulations for the programme under the headings:
  I admission standards
  II courses required
  III examinations required
  IV thesis and language requirements
  V residence regulations;
(j) courses available in the department and proposed new courses, showing which courses, if any, are also open to undergraduates;
(k) any innovation as to subject matter or treatment;
(l) strength of collateral and supporting departments in the university or available to it;
(m) experience of the department in advanced work and, where available, information on the subsequent progress of students who have already been awarded the master's degree;
(n) detailed curriculum vitae and publication records of all staff members to be associated with the programme, with an indication of each individual's relevant experience including thesis supervision, and with the amounts of research grants held by each individual;
(o) schedule of action for development of the programme, approved by the appropriate university officials.

2. The Committee shall review this report and, unless it considers further discussions with the university to be necessary, it shall appoint as consultants at least three outstanding scholars in the field of study being proposed. The Committee shall in any case proceed with the appraisal if the university so requests. Normally, at least two of the consultants shall not be from universities within the Province of Ontario. The consultants shall visit the department being assessed. If a programme has been assessed by consultants acting in connection with accreditation

by a professional body, the number of consultants employed by the Committee may be reduced at the discretion of the Committee.

3. The Committee shall ask the university to suggest a list of names from which suitable consultants might be selected by the Committee, at the discretion of the Committee.

4. Before approaching a consultant not suggested by the university, the Committee shall ascertain if the university concerned has objections to the individual proposed.

5. The consultants shall submit reports in writing to the Committee, giving their appraisals of the strengths and weaknesses of the department and their recommendation concerning the wisdom of the department undertaking to offer the Ph.D. programme. The consultants' reports shall be in two parts, one part of which may be shown without attribution to the members of the department being appraised or elsewhere *within* the university as the university may see fit. The other part shall be more confidential and must be restricted to the Appraisals Committee, and the university's senior administration and the chairman of the department; it shall also be available without attribution to a *small* university committee, if the internal governmental structure of the university requires that such a committee advise the Graduate Faculty and/or the Senate.
The consultants' reports shall not otherwise be published or quoted, except that portions may be paraphrased for use in presenting recommendations to the university's governing bodies (or the Committee on University Affairs) or for use in supporting applications to the National Research Council, Canada Council, and similar funding agencies, provided such applications are confidential.

6. The consultants shall report independently (although a joint visit might be made) so that three independent opinions are obtained.

7. The Committee shall:
(a) examine the reports
(b) transmit the reports to the university and request comments in writing
(c) invite the graduate dean, departmental chairman and up to three senior administrative officers with academic responsibility for the programme to discuss the proposal with the Committee.

8. In the light of the consultants' reports, their recommendations, any conditions attaching thereto, and the university's representations, the Committee shall reach a decision to make the recommendation required in paragraph III.3 of the By-Law. If the recommendation is to grant immediate approval or retention of approval, the Committee shall communicate this recommendation to the Chairman of the Ontario Council on Graduate Studies; the Executive Committee may then communicate the decision to the university and report its action to Council at its next meeting. If the recommendation is refusal or suspension of approval or approval at a future date, the Committee shall inform the university that it proposes to make such a recommendation and shall give the university a sufficiently explicit statement of its reasons that the university can assess the decision.

9. (a) Upon receiving notice that the Committee proposes a negative recommendation or postponement, the university may, before the next

meeting of Council, give notice to the Chairman of the Committee that it wishes to prepare a rebuttal of the Committee's report. (If the university does not do so, the Committee shall present its recommendation at the Council meeting.) If the university prepares a rebuttal, this shall take the form of a written statement to the Appraisals Committee, which shall present any new evidence which may be available. The university may also request the engagement of an additional two consultants (acceptable to the university and to the Committee) who would re-examine the proposal; such consultants would be informed of the general nature of the problem and would have the Committee's statement and the university's rebuttal but would not have access to the previous consultants' reports. The university may also make a verbal presentation to the Committee in the same manner as provided in procedure 7(c). After these steps have been followed, the Committee shall make its recommendations to Council. If the decision remains negative, the Committee shall provide Council with a full report of the procedures followed and with a clear statement of the reasons for the decision. Debate in Council shall be restricted to matters of procedure or clarification of the statement.

(b) A university may at any time submit for a new appraisal a programme which has received negative appraisal. In this case, the submission shall be treated precisely as if the earlier appraisal had not been carried out.

10. The fee for a Ph.D. appraisal shall be $2,000. Partial fees may be established by the Committee if the procedure is not completed or if a re-appraisal is conducted soon after a full appraisal has been carried out.

11. Five years after the initiation of a new Ph.D. programme, the Committee shall ask the university to submit a report showing:

(a) current areas of specialization;
(b) current enrolment;
(c) number of staff in each area of specialization;
(d) present library resources and/or laboratory facilities;
(e) the current regulations for the programme;
(f) courses available;
(g) number of students graduated from the programme;
(h) up-to-date curriculum vitae and publication records of the staff members associated with the programme, indicating each individual's relevant experience including thesis supervision and the amounts of his research grants;
(i) comment on how the plans forecast in the original submission have been followed or departed from.

The Committee shall appoint a consultant in the manner specified in I.3, 4 who may be one of the original consultants but need not be. He will review this report, visit the department, and submit a report in writing to the Committee recommending the retention or suspension of approval. This report shall be handled in a manner similar to that used for the consultants' reports in a full appraisal. If the Appraisals Committee on the receipt of this report considers it desirable, it may appoint a second consultant for an independent opinion. The fee for this service shall be fixed in 1971.

II. Master's Programmes

1. The request for appraisal of master's programmes may be made by the same organizations entitled to request Ph.D. appraisals.

2. The procedure followed by the Committee and the Council shall be the same, mutatis mutandis, as for Ph.D. programmes, except that

(a) only one consultant shall be required to visit the department, and he need not be from outside Ontario

(b) if the Committee or the university wishes further advice, further consultants shall be obtained; normally they shall visit the department

(c) initial approval may be given for an indefinite period, not for only five years as in the case of Ph.D. programmes

(d) the applicable date in paragraph III.7 shall be July 1, 1967

3. Appraisal of certain professional master's degrees may require some modifications in the procedure, which will be determined as the need arises.

4. In the case of master's degrees involving extensive commitment of resources, either in library, staff, or research equipment, the Committee will on request conduct an appraisal similar to that for the Ph.D. Such requests might be appropriate for certain Phil.M. degrees and for certain M.Sc. or M.Eng. degrees.

5. The fee for a master's appraisal employing only one consultant shall be $1,000; if more consultants are required the fee shall be set by the Committee but shall not exceed $2,000.

Revised May 12, 1969